

ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of Invention	Optical device for LED based lamp
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Application Number : 10/816228



Confirmation Number: 7326

First Named Applicant: Julio Chaves

Attorney Docket Number: 3084.028

Art Unit: 2875

Examiner: Adam C. Rehm

Search string: (5453877 or 5699186 or 6097549 or 6641287 or 6729746 or 6554455 or 6830359 or 6848820 or 6886962 or 6926435 or 6948836 or 6953265 or 6997587 or 20040125614 or 20040190304).pn

US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

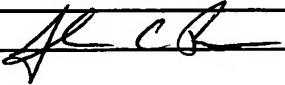
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JK	1	5453877	1995-09-26	Gerbe et al.			
1	2	5699186	1997-12-16	Richard			
1	3	6097549	2000-08-01	Jenkins et al.			
	4	6641287	2003-11-04	Suehiro			
	5	6729746	2004-05-04	Suehiro et al.			
	6	6554455	2003-04-29	Perlo et al.			
	7	6830359	2004-12-14	Fleury			
	8	6848820	2005-02-01	Natsume			
	9	6886962	2005-05-03	Suehiro			
	10	6926435	2005-08-09	Li			
	11	6948836	2005-09-27	Ishida et al.			
	12	6953265	2005-10-11	Suehiro et al.			
AV	13	6997587	2006-02-14	Albou			

US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
SP	1	20040125614	2004-07-01	Ishida et al.			
AV	2	20040190304	2004-09-30	Sugimoto et al.			

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Examiner Name	Date
	3/19/06

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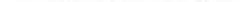
MAR 03 2006

PTO/SB/08b (08-03)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Substitute for Form 1449A/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Application Number	10/818,228
(Use as many sheets as necessary)				Filing Date	March 31, 2004
				First Named Inventor	Chaves
				Art Unit	2875
				Examiner Name	Rehm
Sheet	1	of	1	Attorney Docket Number	3084.028

Examiner Signature		Date Considered	3/18/06
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1460.

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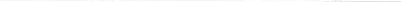
FEB 28 2006

PTO/SB/18b (08-03)

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U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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<p>Substitute for Form 1449A/PTO</p> <p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p> <p><i>(Use as many sheets as necessary)</i></p>				Complete if Known	
				Application Number	10/816,228
				Filing Date	March 31, 2004
				First Named Inventor	Chaves
				Art Unit	2875
				Examiner Name	Rehm
Sheet	1	of	1	Attorney Docket Number	3084.028

Examiner Signature		Date Considered	3/18/06
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Stylesheet Version v18.0

Title of Invention	Optical device for LED based lamp						
Application Number :	10/816228						
Confirmation Number:	7326						
First Named Applicant:	Julio Chaves						
Attorney Docket Number:	3084.028						
Art Unit:	2875						
Examiner:	Adam C. Rehm						
Search string:	(6863402 or 6882379 or 6692136 or 6769772 or 6252636 or 5600487 or 20050135095 or 20050200812 or 20050219464).pn						
US Patent Documents							
Note: Applicant is not required to submit a paper copy of cited US Patent Documents							
init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
<i>J</i>	1	6863402	2005-03-08	Roddy et al.			
<i>J</i>	2	6882379	2005-04-19	Yokoyama et al.			
<i>J</i>	3	6692136	2004-02-17	Marshall et al.			
<i>J</i>	4	6769772	2004-08-03	Roddy et al.			
<i>J</i>	5	6252636	2001-06-26	Bartlett			
<i>K</i>	6	5600487	1997-02-04	Kiyomoto et al.			
US Published Applications							
Note: Applicant is not required to submit a paper copy of cited US Published Applications							
init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
<i>K</i>	1	20050135095	2005-06-23	Geissler			
<i>K</i>	2	20050200812	2005-09-15	Sakata et al.			
<i>K</i>	3	20050219464	2005-10-06	Yamasaki et al.			

Signature

Examiner Name	Date
<i>SC</i>	3/8/06



OCT 06 2005

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1000-0001.

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

1

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Complete if Known

Application Number	10/816,228
Filing Date	3/31/2004
First Named Inventor	Chaves
Art Unit	2875
Examiner Name	Tee A. Rehm
Attorney Docket Number	3084.028

NON-PATENT LITERATURE DOCUMENTS

**Examiner
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Date Considered

~~3/6/06~~ 3/6/06

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Title of Invention	Optical device for LED based lamp
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Application Number : 10/816228



Confirmation Number: 7326

First Named Applicant: Julio Chaves

Attorney Docket Number: 3084.028

Art Unit: 2875

Examiner: Laura K Tso

Search string: (4188111 or 4384769 or 5343330 or 6222623 or 6356700 or 6783269 or 6924943
or 20040228131 or 20050088758 or 20040252390 or 20050024744 or
20050086032 or 20040246606).pn

US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
1	1	4188111	1980-02-12	Marvin			
1	2	4384769	1983-05-24	Brei et al.			
1	3	5343330	1994-08-30	Hoffman et al.			
1	4	6222623	2001-04-24	Wetherell			
1	5	6356700	2002-03-12	Strobel			
1	6	6783269	2004-08-31	Pashley			
1	7	6924943	2005-08-02	Minano et al.			

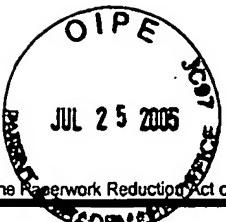
US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
1	1	20040228131	2004-11-18	Minano			
1	2	20050088758	2005-04-28	Minano et al.			
1	3	20040252390	2004-02-13	Benitez			
1	4	20050024744	2005-02-03	Falicoff			
1	5	20050086032	2005-04-21	Benitez et al.			
1	6	20040246606	2004-12-09	Benitez et al.			

Signature

Examiner Name	Date
<u>AC CR</u>	3/18/06



JUL 25 2005

PTO/SB/08a (08-03)

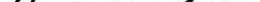
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Substitute for form 1449A/PTO				Complete if Known	
				Application Number	10/816,228
				Filing Date	3/31/2004
				First Named Inventor	Chaves et al.
				Art Unit	2875
				Examiner Name	Tso Rehm
Sheet	1	of	1	Attorney Docket Number	3084.028

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (<i>If known</i>)	MM-DD-YYYY		

Examiner Signature		Date Considered	3/1/06
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Stylesheet Version v18.0

Title of Invention	Optical device for LED based lamp
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Application Number : 10/816228



Confirmation Number: 7326

First Named Applicant: Julio Chaves

Attorney Docket Number: 3084.028

Art Unit: 2875

Examiner: *Laura K. Tso Rehun*

Search string: (1399973 or 3760237 or 3774021 or 3938177 or 4638343 or 4727457 or 5055892 or 5438453 or 5528474 or 5557471 or 5580142 or 5865529 or 5898809 or 6139166 or 6201229 or 6350041 or 6361190 or 6488392 or 6502964 or 6504301 or 6547400 or 6580228 or 6621222 or 6679621 or 6786625 or 6796698 or 6803607 or 6811277 or 6896381 or 2362176 or 2908197 or 4211955 or 4388673 or 4464707 or 4727289 or 5655830 or 6019493 or 20050117125 or 20050129358).pn

US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
1	1	1399973	1921-12-13	Limpert			
	2	3760237	1973-09-18	Jaffe			
	3	3774021	1973-11-20	Johnson			
	4	3938177	1976-02-10	Hansen, et al.			
	5	4638343	1987-01-20	Althaus, et al.			
	6	4727457	1988-02-23	Thillays			
	7	5055892	1991-10-08	Gardner, et al.			
	8	5438453	1995-08-01	Kuga			
	9	5528474	1996-06-18	Roney, et al.			
	10	5557471	1996-09-17	Fernandez			
	11	5580142	1996-12-03	Kurematsu, et al.			
	12	5865529	1999-02-02	Yan			
	13	5898809	1999-04-27	Taboada, et al.			
	14	6139166	2000-10-31	Marshall, et al.			
	15	6201229	2001-03-13	Tawa, et al.			
	16	6350041	2002-02-26	Tarsa, et al.			
	17	6361190	2002-03-26	McDermott			
	18	6488392	2002-12-03	Lu			
12	19	6502964	2003-01-07	Simon			

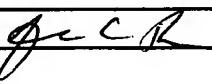
Re	20	6504301	2003-01-07	Lowery				
I	21	6547400	2003-04-15	Yokoyama				
	22	6580228	2003-06-17	Chen, et al.				
	23	6621222	2003-09-16	Hong				
	24	6679621	2004-01-20	West				
	25	6786625	2004-09-07	Wesson				
	26	6796698	2004-09-28	Sommers, et al.				
	27	6803607	2004-10-12	Chan, et al.				
	28	6811277	2004-11-02	Amano				
	29	6896381	2005-05-24	Benitez				
	30	2362176	1944-11-07	Swanson				
	31	2908197	1959-10-13	Wells, et al.				
	32	4211955	1980-07-08	Ray				
	33	4388673	1983-06-14	Maglica				
	34	4464707	1984-08-07	Forrest				
	35	4727289	1988-02-23	Uchida				
	36	5655830	1997-08-12	Ruskouski				
CL	37	6019493	2000-02-01	Kuo, et al.				

US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
10	1	20050117125	2005-06-02	Minano, et al.			
CL	2	20050129358	2005-06-16	Minano, et al.			

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Examiner Name	Date
	3/6/06



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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 2				Attorney Docket Number 3084.028
Complete if Known				
Application Number		10/816,228		
Filing Date		3/31/2004		
First Named Inventor		Chaves et al.		
Art Unit		2872 2875		
Examiner Name		<i>Rahm</i>		

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number Number - Kind Code ² (<i>If known</i>)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
<i>AS</i>		USSN 10/461,557	06-12-2003	Minano	
<i>AS</i>		USSN 10/772,088	02-03-2004	Minano	
<i>AS</i>		USSN 10/779,259	02-13-2004	Benitez	
<i>AS</i>		USSN 10/903,925	07-28-2004	Falicoff	
<i>AS</i>		USSN 10/901,919	07-28-2004	Benitez	
<i>AS</i>		USSN 10/880,386	06-28-2004	Benitez	

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ - Number ⁴ - Kind Code ⁵ (<i>If known</i>)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
<i>AS</i>		SU 1282051 A1	01/07/1987	Spigulis	
<i>AS</i>		EP 0 450 560 A2	10/09/1991	Totah, et al	
<i>AS</i>		ES 2142752	12/01/2000	Universidad Politecnica de Madrid	
<i>AS</i>		WO 99/09349	02/25/1999	De Coma International Inc.	
<i>AS</i>		WO 99/13266	03/18/1999	Simon	
<i>AS</i>		WO 01/07828 A1	02/01/2001	Pelka	
<i>AS</i>		WO 03/066374 A2	08/14/2003	Steen, et al	
<i>AS</i>		WO 03/066374 A3	08/14/2003	Steen	
<i>AS</i>		WO 04/007241 A2	01/22/2004	Steen, et al	

Examiner Signature	<i>AS CL</i>	Date Considered	<i>3/6/06</i>
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Substitute for form 1449B/PTO				Complete If Known	
				Application Number	10/816,228
				Filing Date	3/31/2004
				First Named Inventor	Chaves et al.
				Art Unit	2872 2875
				Examiner Name	Rahn
Sheet	2	of	2	Attorney Docket Number	3084.028

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		
K		Remillard, Everson and Weber, "Loss Mechanisms Optical Light Pipes" <i>Applied Optics</i> Vol 31 #34 pp. 7232-7241 December 1992.		
		Parkyn et al "The Black Hole™: Cusped waveguide-injectors and illuminators for LEDs; Part of the SPIE Conference on Nonimaging Optics: Maximum Efficiency Light Transfer V, Denver, CO, July 1999.		
		Hyper ARGUS®LED, Hyper-Bright, 3mm (T1) LED, Non Diffused; 3-1-2000; Infineon Technologies, pp. 1-9.		
		Spigulis, "Compact dielectric reflective elements, Half-sphere concentrators of radially emitted light" <i>Applied Optics</i> Vol. 33, No. 25, September 1994.		
		International Search Report, PCT/US03/32076		
		Benítez, P. "Chapter 6: The SMS design method in three dimensions", from <i>Conceptos avanzados de óptica anidólica: diseño y fabricación</i> , PhD dissertation, UPM, (1998).		
		Benítez, P.; Mohedano, R.; Minano, J. "Design in 3D geometry with the Simultaneous Multiple Surface design method of Nonimaging Optics" Instituto de Energía Solar, E.T.S.I. Telecommunicacion, Universidad Politécnica, 28040. Madrid, Spain. (July 1999).		
L		International Search Report. PCT/US03/38240, July 26, 2004.		

Examiner Signature	<i>JL C</i>	Date Considered	3/6/06
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ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of Invention	OPTICAL DEVICE FOR LED BASED LAMP	
Application Number :	10/816228	
Confirmation Number:	7326	
First Named Applicant:	Julio Chaves	
Attorney Docket Number:	3084.028	
Art Unit:	2872 2875	
Examiner:	Rehu	
Search string:	(6616287 or 6637924 or 6639733 or 6646813 or 6647199 or 6674096 or 6282821 or 6483976 or 6688758 or 20020080623 or 20030076034 or 20040070855 or 20020034012 or 20040105171 or 20040189933).pn	

US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
A	1	6616287	2003-09-09	Sekita, et al			
	2	6637924	2003-10-28	Pelka, et al			
	3	6639733	2003-10-28	Minano, et al			
	4	6646813	2003-11-11	Falicoff			
	5	6647199	2003-11-11	Pelka, et al			
	6	6674096	2004-01-06	Sommers			
	7	6282821	2001-09-04	Freier			
	8	6483976	2002-11-19	Shie, et al			
K	9	6688758	2004-02-10	Thibault			

US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
A	1	20020080623	2002-06-27	Pashley			
	2	20030076034	2003-04-24	Marshall			
	3	20040070855	2004-04-15	Benitez			
	4	20020034012	2002-03-21	Santoro, et al			
	5	20040105171	2004-06-03	Minano			
K	6	20040189933	2004-09-30	Sun			

Signature

Examiner Name	Date
	3/6/06

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Examiner:							
Search string:	(1977689 or 2254961 or 4192994 or 4337759 or 4342908 or 4675725 or 4698730 or 4920404 or 5140220 or 5302778 or 5335157 or 5404282 or 5404869 or 5452190 or 5577492 or 5608290 or 5613769 or 5655832 or 5676453 or 5757557 or 5777433 or 5806955 or 5813743 or 5894195 or 5894196 or 5897201 or 5898267 or 5924788 or 5926320 or 5966250 or 6030099 or 6044196 or 6048083 or 6166860 or 6166866 or 6177761 or 6181476 or 6268963 or 6273596 or 6301064 or 6450661 or 6473554 or 6536923 or 6547423 or 6560038 or 6578989 or 6582103 or 6598998 or 6603243 or 6607286).pn						
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Note: Applicant is not required to submit a paper copy of cited US Patent Documents							
init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
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Signature

Examiner Name	Date
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